

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number	09/963,858
		Filing Date	September 25, 2001
		First Named Inventor	Frechet, Jean J.
		Art Unit	1637
		Examiner Name	Riley, Jezia
Total Number of Pages in This Submission	9	Attorney Docket Number	061818-5011-US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request (See Remarks)  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input type="checkbox"/> Other Enclosure(s) (please identify below): <ul style="list-style-type: none"><li>• Return postcard</li><li>• Copies of 3.73(b) and Assignment</li></ul>
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual	Morgan, Lewis & Bockius LLP Todd Esker Reg. No. 46,690
Signature	
Date	March 4, 2005

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Signature		Date	March 4, 2005



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<b>POWER OF ATTORNEY OR AUTHORIZATION OF AGENT</b>	<b>Application Number</b>	09/963,858
	<b>Filing Date</b>	September 25, 2001
	<b>First Named Inventor</b>	Frechet, Jean J.
	<b>Title</b>	Dendrimeric Support or Carrier Macromolecule
	<b>Group Art Unit</b>	1637
	<b>Examiner Name</b>	Riley, Jezia
	<b>Attorney Docket Number</b>	061818-5011-US (18062G- 003510US)

I hereby appoint:

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☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

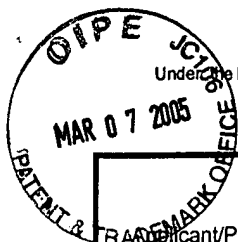
**SIGNATURE of Applicant or Assignee of Record**

Name	Carol S. Mimura, Ph.D., Acting Assistant Vice Chancellor of IPIRA and Executive Director of OTL
Signature	
Date	3/4/05

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☒ \*Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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Attorney Docket No. 18062G-003510US

UC Case No.: B01-007

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Jean J. Frechet, et al.

Application No./Patent No.: 09/963,858

Filed/Issue Date: September 25, 2001

Entitled: DENDRIMERIC SUPPORT OR CARRIER MACROMOLECULE

The Regents of the University of California, a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

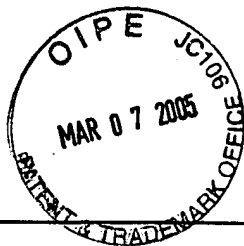
The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Dec 3 2001  
Date

[Signature]  
Signature

William A. Hoskins  
Typed or printed name

Director  
Title



JSM  
180626-003510 U

MARCH 29, 2002

PTAS  
TOWNSEND AND TOWNSEND AND CREW LLP  
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TWO EMBARCADERO CENTER, 8TH FLOOR  
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RECORDATION DATE: 01/23/2002

REEL/FRAME: 012531/0295  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

FRECHET, JEAN J.

DOC DATE: 12/24/2001

ASSIGNOR:

IHRE, ROLF H.

DOC DATE: 12/18/2001

ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF  
CALIFORNIA  
1111 FRANKLIN STREET, 12TH FLOOR  
THE OFFICE OF THE PRESIDENT  
OAKLAND, CALIFORNIA 94607-5200

SERIAL NUMBER: 09963858  
PATENT NUMBER:

FILING DATE: 09/25/2001  
ISSUE DATE:

012531/0295 PAGE 2

MAURICE CARTER, EXAMINER  
ASSIGNMENT DIVISION  
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02-05-2002

Attorney Docket No. 18062G-003510US

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)

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101972270

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Jean J. Frechet  
Rolf H. IhreAdditional name(s) of conveying parties attached? ☐ Yes ☒ No.

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger
- ☐ Security Agreement ☐ Change of Name
- ☐ Other: \_\_\_\_\_

Execution Date: 12/24/01, 12/18/01

## 2. Name and address of receiving party(ies)

Name: The Regents of the University of CaliforniaInternal Address: The Office of the PresidentStreet Address: 1111 Franklin Street, 12th FloorCity: Oakland State: CA ZIP: 94607-5200Additional names and addresses attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/963,858

B. Patent No(s):

JAN 23 2002

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Jeffry S. Mann  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

## 6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*

Jeffry S. Mann

Name of Person Signing  
Atty. Reg. No. 42,837

Signature

January 2, 2002

Date

Total number of pages including cover sheet, attachments and document 4

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JOINT

**ASSIGNMENT OF PATENT APPLICATION**

U.C. Case No. B01-007

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Jean J. Frechet

2. Rolf H. Ihre

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its administrative offices located at The Office of the President, 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**DENDRIMERIC SUPPORT OR CARRIER MACROMOLECULE**

and which is found in

- (a) ☐ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) ☐ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) ☒ U.S. application serial no. 09/963,858, filed on September 25, 2001
- (d) ☐ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

Assignment  
Application No.: 09/866,132  
Page 2


AND the ASSIGNOR(S) requests the Assistant Commissioner for Patents to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

24<sup>th</sup> day of December, 2001

\_\_\_\_ day of \_\_\_\_\_, 2001

Signature of Inventor(s)

  
\_\_\_\_\_  
Jean J. Frechet

\_\_\_\_\_  
Rolf H. Ihre



Assignment  
Application No.: 09/866,132  
Page 2

AND the ASSIGNOR(S) requests the Assistant Commissioner for Patents to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_\_\_ day of \_\_\_\_\_, 2001

\_\_\_\_\_  
Jean J. Frechet

18 day of DECEMBER, 2001

\_\_\_\_\_  
*Rolf H. Ihre*  
Rolf H. Ihre

SF 1293853 v1